Activity: **8.3**
Initiate Acceptance Process

Responsibility: Project Manager

Description: The acceptance process is used to officially accept new or modified software products that satisfy the project requirements and are fully operational. The initiation of the acceptance process begins after the successful completion of system testing. Prior to the initiation of the acceptance process, review the draft Acceptance Test Plan. Make any additions or changes needed to assure that the test plan reflects the current version of the software requirements.

The acceptance process is initiated with the completion of a Preacceptance Checklist. This list helps to ensure that all necessary preacceptance activities have been completed and that the required operating documents were developed and approved. The Preacceptance Checklist includes a section on software security issues.

Procedure: Use the following procedure to initiate the acceptance process.

- The project manager notifies the Quality Assurance Team assigned to the project that the project is ready to start the acceptance process.
- The Quality Assurance Team sends the Preacceptance Checklist to the project manager.
- The project manager completes the checklist, obtains the concurrence signature of the system owner (if required), and returns the completed checklist to the Quality Assurance Team.
- The Quality Assurance Team schedules an initial acceptance process meeting. More than one meeting may be necessary to accommodate users at different locations or with varying requirements.

Work Product: Review the draft version of the Acceptance Test Plan, and update as needed. Deliver the final version of the Acceptance Test Plan to the system owner, user, and other project stakeholders for review and approval prior to conducting any acceptance tests. Place a copy of the approved Acceptance Test Plan in the Project File.

The Preacceptance Checklist is completed and submitted to the Quality Assurance Team supporting the project. A sample Preacceptance Checklist is provided on the following pages.

Sample Preacceptance Checklist
[Software Product Name]

Instructions: The project manager must indicate completion of each item with a checkmark and obtain concurrence on the last page. Send a copy of the completed checklist to the Quality Assurance Team assigned to the project. Any deviations from the checklist must be documented and a copy attached to the checklist.

1. Acceptance Test Plan

___ Provided to Quality Assurance and approved.

2. System Documents (e.g., User's Manual and Programmer's Reference Manual)

___ Appropriate system documents have been prepared in accordance with the applicable documentation standards. The system documents have been reviewed and approved by the system owner and other designated approvers. Issues identified during the Stage Exits have been resolved.

3. System Review Inventory System (SRIS)

___ The SRIS form has been updated to reflect the latest version of the software product and was submitted to the site software inventory/repository administrator and the Headquarters SRIS Coordinator.

4. Quality Assurance Support Preparation

___ The Quality Assurance Team has been given access to all portions of the software product required for testing.

___ Software product information has been provided to the Quality Assurance Team.

5. Security

___ The security checklist has been completed by the system owner and forwarded to the site's Computer Protection Program Manager. A sample security checklist is provided at the end of the Preacceptance Checklist.

___ Criteria for determination of mission essentiality have been reviewed and a determination made for the software product.

The software is mission essential. □ Yes □ No

___ If mission essential, a Continuity of Operations Plan is in place. The plan has been reviewed and approved by the appropriate organizations and personnel.

6. General Requirements

___ Installation of the required hardware and software for all users is fully documented in an Installation Plan.

___ User training is fully documented in an approved Training Plan.

___ Maintenance programmer staff training is fully documented in an approved Training Plan.

___ Configuration management is occurring according to the Software Configuration Management Plan.

___ Data retention criteria have been established according to appropriate recordkeeping requirements.

___ User identification has been assigned.

___ A task assignment has been generated to cover enhancement and maintenance services after acceptance.

7. Software Requirements

__ All debugging and monitoring facilities have been removed from the production source and load (executable) modules.

__ Appropriate operational area points-of-contact have been consulted and agree that all operational readiness issues have been satisfied.

8. System Testing

System testing has been performed on all programs and modules to verify that the following conditions have been met.

__ User-required features have been satisfied (e.g., reports, data entry, data validation, queries).

__ All error conditions specified in the Integration and System Test Plans have been tested and respond to corrective action.

__ All backup, recovery, checkpoint, purge, and restart facilities required to ensure system integrity are operational.

__ Response times have been demonstrated and are in line with the requirements.

__ A production data base has been established.

System Owner Concurrence (if required)

I concur that all of the above items have been completed, and the system is ready for the acceptance process. Any deviations from the checklist have been documented and approved.

_____
System Owner

Sample Preacceptance Checklist
Security Issues
[Software Product Name]

1. Sensitivity and Essentiality

The software is: □ non-sensitive □ sensitive
□ classified □ mission essential

2. General Security (all software products)

	Yes	No	
a.	□	□	Security objectives were established by the system owner.
b.	□	□	Security requirements were specified by the project team to support the security objectives.
c.	□	□	System design features enforce the security requirements.
d.	□	□	Testing was conducted to verify the security design features incorporated into the software product and the results were recorded.
e.	□	□	Security tests were conducted satisfactorily or a statement of acceptance of risk was issued by the system owner.
f.	□	□	Appropriate data set/file protection rules, authorities, and user identification codes were established by the system owner or as mandated by higher authority.
g.	□	□	Access control protection was incorporated into the software product.
h.	□	□	All manufacturer generic, test team, temporary, and superfluous passwords were deleted from the software product.
i.	□	□	All privacy, freedom of information, sensitivity, and classification considerations were identified, resolved, and established.

3. Classified Software Products

	Yes	No	
a.	□	□	An approved Security Plan was developed.
b.	□	□	For applications running on a classified system, the system owner has provided the required information to the Computer System Security Officer (CSSO) for the Computer Center for inclusion in the security plan.
c.	□	□	The security test plan was approved.
d.	□	□	The security test was successfully completed.
e.	□	□	The software product was certified by the owning organization's CSSO.